

# Governor's Office of Homeland Security



---

## Fiscal Year 2007/2008 Regional Catastrophic Preparedness Grant Program

### *California Supplement Federal Program Guidance and Application Kit*

March 25, 2008

# **STATE OF CALIFORNIA**

**Arnold Schwarzenegger, Governor**

Governor's Office of Homeland Security

**Matthew R. Bettenhausen, Director**

Grants Management Division

**Larry Davis, Deputy Director**

**John Isaacson, Chief**

Infrastructure Protection Grant Unit

**Gayle Pitt, Program Manager**

Infrastructure Protection Grant Unit Staff

**Scott Sano**

**Rakesh Sharma**

**Peter Town**

**Martin von Gnechten**

# Table of Contents

	Page
<b>Contact Information</b>	<b>4</b>
<b>Section 1 – Application Resources</b>	<b>5</b>
Federal Program Guidance and Updates	5
Investment Justification Template	5
Press Release	5
Fact Sheet	5
Information Bulletins	5
California Supplement	5
<b>Section 2 – Timeline</b>	<b>6</b>
Grant Timeline	6
<b>Section 3 – Overview</b>	<b>7</b>
Funding Availability	7
Maximum Subgrant	7
Review/Evaluation Process	7
Match Requirement	7
Grant/Performance Period	7
Eligible Applicant	7
Eligible Subgrant Applicants	7
<b>Section 4 – Subgrant Application Process</b>	<b>8</b>
Subgrant Investment Justifications	8
Investment Justification Requirements	8
Application Submittal	8
Eligible Activities	9
Allowable Training Costs	9
<b>Section 5 – Post DHS Award – Subgrant Applications</b>	<b>10</b>
Subgrant Application Components	10
Subgrant application approval	10
Post Award Modifications	11
Subgrantee Performance Reports	11
Monitoring Subgrantee Performance	11
Suspension or Termination	12
Closeout	12
Payment Request Process	13
Financial Management and Reporting Workshops	13

## Contact Information

<b>State Administrative Agency (SAA)</b>	<b>Governor's Office of Homeland Security (OHS)</b> Attention: Grants Management State Capitol Sacramento, CA 95814-4900 (916) 324-8908 (916) 324-5902 Fax
<b>SAA Program Point of Contact (POC)</b>	Rakesh Sharma (916) 322-2727 <a href="mailto:Rakesh.Sharma@ohs.ca.gov">Rakesh.Sharma@ohs.ca.gov</a>
<b>SAA Program Manager</b>	Gayle Pitt (916) 322-2614 <a href="mailto:Gayle.Pitt@ohs.ca.gov">Gayle.Pitt@ohs.ca.gov</a>

## Section 1 – Application Resources

### **Federal Program Guidance and Updates**

The U.S. Department of Homeland Security (US DHS) published the *Fiscal Year (FY) 2007/2008 Regional Catastrophic Preparedness Grant Program (RCPGP) Guidance and Application Kit* on February 1, 2008.

The *Guidance and Application Kit* may be obtained at:  
[http://www.ohs.ca.gov/pdf/fy08\\_rcp\\_guidance.pdf](http://www.ohs.ca.gov/pdf/fy08_rcp_guidance.pdf)

### **Investment Justification Template**

The guidelines for the Investment Justifications can be obtained at:  
<http://www.ohs.ca.gov/pdf/RCPGPInvestmentJustificationInstructionsandTemplate.pdf>

### **Press Release**

The US DHS issued a Press Release announcing the *FY 2007/2008 RCPGP* on February 1, 2008.

The Press Release can be obtained at:  
[http://www.dhs.gov/xnews/releases/pr\\_1201882070387.shtm](http://www.dhs.gov/xnews/releases/pr_1201882070387.shtm)

### **Fact Sheet**

The US DHS issued a Fact Sheet on the *FY 2007/2008 RCPGP* on February 1, 2008.

The Fact Sheet can be obtained at:  
[http://www.dhs.gov/xnews/releases/pr\\_1201882312614.shtm](http://www.dhs.gov/xnews/releases/pr_1201882312614.shtm)

### **Information Bulletins**

The US DHS information bulletins which provide grant updates, information, clarification, and requirements throughout the life of the grant.

The US DHS Information Bulletins can be viewed at:  
<http://www.ojp.usdoj.gov/odp/docs/bulletins.htm>

### **California Supplement**

The *California Supplement* to the Federal Program Guidance is intended to complement, rather than replace, the federal guidance published by the US DHS National Preparedness Directorate. It is recommended that applicants read thoroughly the federal guidance before referring to the State Supplement. Funding availability, eligible applicants, allowable costs and other key information is described in the federal guidance and application kit.

## Section 2 - Timeline

### **FY 2007/2008 RCPGP Grant Timeline**

US DHS announcement of FY 2007/2008 RCPGP	February 1, 2008
FY 2007/2008 RCPGP California Supplement release	March 24, 2008
Suggested internal review date	March 27, 2008
Exchange of draft investment Justifications	April 1, 2008
RCPG IJ Peer Review	April 3, 2008
Submit final Investment Justifications to OHS	April 18, 2008
OHS will submit FY 2007/2008 RCPG application to DHS	May 1, 2008
US DHS Award (no later than)	August 1, 2008
Subgrantee performance period ends	May 1, 2010
Final requests for reimbursement due	May 9, 2010
SAA Performance Period Ends	August 1, 2010

## Section 3 – Overview

<b>Funding Availability</b>	The Regional Catastrophic Preparedness Grant Program (RCPGP) is intended to enhance regional catastrophic preparedness and continuity of operations efforts, with the aim of strengthening the Nation against risks associated with catastrophic events. RCPGP centers on the highest risk Urban Areas and surrounding regions, where its impact will have the most significant effect on our collective security and resilience. Each site eligible for participation in the RCPGP, designated as the RCPGP site, includes a collection of jurisdictions that must work collaboratively to fulfill the program requirements.
<b>Maximum subgrant</b>	<p>In FY 2007 and FY 2008, the total amount of grant funds distributed under the RCPGP will be approximately \$60 million, and an additional \$8.9 million will be delivered to grantees in the form of technical assistance for a total funded support amount of \$69 million. Both FY 2007 and FY 2008 RCPGP grant funds are available for allocation through this grant package. The available funding is:</p> <p>For FY 2007, the Bay Area and Los Angeles Area will receive \$4,000,000 each. They will be able to compete for a remaining amount of Tier 1 funds, which amounts to \$5,000,000.</p> <p>For FY 2008, the Bay Area and Los Angeles Area will receive \$2,000,000 each. They will be able to compete for a remaining amount of Tier 1 funds, which totals \$6,000,000.</p>
<b>Review/ Evaluation Process</b>	<p>The regional catastrophic Planning Team (RCPT) may submit a maximum of two Investment Justifications per RCPGP site, one for competitively awarded monies and one for non-competitively awarded monies. When combined with a RCPT Membership List and Standard Federal Grant Application Forms, the Investment Justification constitutes a complete Investment Justification package. DHS uses the Investment Justification package to make grant award decisions and inform programmatic decisions.</p>
<b>Match Requirement</b>	<p>There is a 25 percent cost share requirement of non-federal funds (cash or “in-kind”) which will need to be met. Non-competitive Investment Justifications can spread the 25 percent cost share requirements unevenly across projects. Competitive Investment Justifications, however, must account for 25 percent of each proposed project to ensure that cost share requirements can be met if only one project is funded.</p>
<b>Grant Performance Period</b>	24 months from date of grant award to State Administrative Agency (SAA).
<b>Eligible Applicant</b>	OHS is the SAA for California and is the eligible grant applicant in the FY 2007/2008
<b>Eligible Subgrant Applicants</b>	<p>Los Angeles/Long Beach Area (to include the Los Angeles-Long Beach-Riverside, CA Combined Statistical Area).</p> <p>Bay Area (San Jose-San Francisco-Oakland, CA Combined Statistical Area).</p>

## Section 4 – Subgrant Application Process

<b>Subgrant Investment Justifications</b>	<p>The Investment Justification is a method for the applicant to demonstrate their planned use of funds and describe specific funding and implementation approaches over the 24 month grant period of performance that will help enhance and sustain capabilities and achieve outcomes aligned with the National Preparedness Guidelines, their respective State/Urban Area Homeland Security Strategy, and their State Preparedness Report.</p> <p>Investment Justifications need to be sent to the SAA by the due date. Investment Justifications must be posted electronically to the Office of Domestic Preparedness (ODP) Secure Portal utilizing the Investment Template provided by the US DHS (found in Section 1).</p>
<b>Investment Justification Requirements</b>	<p>To apply for the FY 2007/2008 RCPGP, eligible Urban Areas must complete an Investment Justification and provide it to their respective SAA per the SAA's guidelines. The Investment Justification is not to exceed 8 pages, and must be double-spaced and completed using 12 point Times New Roman font.</p> <p>Applicants must complete a separate Investment Justification for the competitive and non-competitive portions of the RCPGP grant monies designated in the <i>RCPGP Investment Justification Package (IJP)</i>. Each Investment Justification consists of five sections. See IJP link for details: <a href="http://www.ohs.ca.gov/pdf/RCPGPInvestmentJustificationInstructionsandTemplate.pdf">http://www.ohs.ca.gov/pdf/RCPGPInvestmentJustificationInstructionsandTemplate.pdf</a></p> <p>Included with the Investment Justification must be a detailed Membership List in table format with the name, jurisdictions, professional title, and discipline(s) of each Regional Catastrophic Preparedness Team member (RCPT Membership List). In addition, once complete applications are received by the SAA, Standard forms 424, 424A, 424B, LLL &amp; Certification Regarding Department, Suspension, and Other Responsibility Matters will be completed and sent to <a href="http://www.grants.gov">www.grants.gov</a> by the SAA administrator with the application.</p>
<b>Application Submittal</b>	<p>Submit completed Investment Justifications to OPD Secure Portal at: <a href="https://odp.esportals.com/">https://odp.esportals.com/</a></p> <p><b>NOTE:</b> New applicants must register with ODP before posting their Investment Justifications in order to receive a Login name and Password.</p> <p>Step 1: Register and/or Login to ODP Secure Portal</p> <p>Step 2: Click on 'Library' link</p> <p>Step 3: Click on 'FY08 RCPGP' folder then click on 'Investment Justifications' folder.</p> <p>Step 4: Upload Investment Justification to 'Investment Justification' folder by Clicking on 'Upload Document'.</p>



**Eligible Activities**

The following activities are central priorities/objectives of the RCPGP program and need to be addressed when developing the Investment Justification.

- 1. Fix shortcomings in Existing Plans**
- 2. Build Regional Planning Process and Planning Communities**
- 3. Link Operational and Capabilities-Based Planning for Resource Allocation**

**See the Guidance and Application Kit for specifics in priority activities.**

[http://www.ohs.ca.gov/pdf/fy08\\_rcp\\_guidance.pdf](http://www.ohs.ca.gov/pdf/fy08_rcp_guidance.pdf)

**Allowable Costs**

The following allowable training costs need to be addressed when developing the investment justification.

**1. Planning**

Urban Areas may use RCPGP funds for planning efforts to address catastrophic events. These efforts must enable the prioritization of needs, building of capabilities, updating of preparedness strategies, allocation of resources, and delivery of preparedness programs across disciplines (e.g., law enforcement, fire, emergency medical service (EMS), public health, behavioral health, public works, agriculture, and information technology) and levels of government. Working through Citizen Corps Councils, all jurisdictions are encouraged to include non-governmental entities and the general public in planning and associated training and exercises.

**2. Personnel**

Hiring, overtime, and backfill expenses are allowable under this grant only to perform programmatic activities deemed allowable under existing guidance. Supplanting, however, is not allowed.

Up to 50 percent of the total program funds may be used to support the hiring of full or part-time personnel to conduct program activities that are allowable under RCPGP. Grantees may request that DHS issue a waiver to increase that ceiling. The ceiling on personnel costs does not apply to contractors and is in addition to eligible Management & Administration costs and eligible hiring of intelligence analysts. Grantees may hire staff only for program management functions, not operational duties.

RCPGP funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

**3. Management and Administration (M&A)**

A maximum of up to three percent 3 percent of funds awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the RCPGP award. States may pass through a portion of the State M&A allocation to local subgrantees to support local management and administration activities (not to exceed 3 percent).

## Section 5- Post DHS Award - Subgrant Applications

### **Subgrant Application Components**

Successful subgrantees will be required to submit subgrant applications to the SAA prior to final award of grant funds.

**A completed application will include all of the following components:**

- **Completed Investment Justification containing:**
  - Non-competitive Investment Justification (required) and Competitive Investment Justification (required if applying for it).
  - RCPT Membership List
- **Completed OHS Financial Management Forms Workbook V 1.07**
  - Submitted electronically to the ODP Secure Portal
  - \*Standard Forms 424, 424A, 424B, LLL & Certification Regarding Debarment, Suspension, and Other Responsibility Matters will be completed and sent to grants.gov by an SAA administrator.
- **Governing Body Resolution – Mailed**
- **Signature Authority - Mailed**
- **Signed Original Grant Assurances – Mailed**
  - Available only in PDF format on the OHS website

The **Financial Management Forms Workbook V 1.07** can be found at <http://www.ohs.ca.gov/grantsinfo2007.html>

### **Subgrant Application Approval**

The subgrantee will receive written notice of OHS approval for the subgrant application.

**Post Award Modifications** Post award budget, scope and time modifications must be requested using the **OHS Financial Management Forms Workbook V 1.07**, by the subgrantee's Authorized Agent, and submitted to the subgrantee's Program Representative in the Grant Administration Unit of OHS. Upon approval the subgrantee will be instructed to make the required changes in the National Preparedness Directorate's Grants Reporting Tool (GRT)  
<https://www.reporting.odp.dhs.gov> .

The subgrantee may implement the modifications, and incur associated expenses, **after** receiving **written final approval** of the modification from OHS.

**NOTE: Modifications can be requested once per quarter during the grant performance period.** Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

**Subgrantee Performance Reports** Subgrantees must prepare and submit performance reports to the state for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed. Subgrantees must complete a Biannual Strategy Implementation Report using the GRT, and will also be required to submit additional information and data requested by the state.

**Monitoring Subgrantee Performance** OHS is currently conducting a program of subgrantee monitoring. The monitoring will be conducted on the subgrantees administrative, programmatic and fiscal management of the grant(s).

**These reviews may include, but are not limited to:**

- Eligibility of expenditures
- Comparing actual subgrantee activities to those approved in the subgrant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
  - Grant Assurances.
  - Information provided on performance reports and payment requests.
  - Needs and threat assessments and strategies.

**Suspension or Termination** OHS may suspend or terminate subgrant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the subgrant application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.
- Failing to adequately manage, monitor or direct the grant funding activities of their subrecipients.

Before taking action, OHS will provide the subgrantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

**Closeout** OHS will close a subgrantee award after:

- Receiving a subgrantee Performance Report indicating that all approved work has been completed, and all funds have been disbursed;
- Completing a review to confirm the accuracy of reported information; and
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the subgrantee:

- Is owed additional funds, OHS will send the final payment automatically to the subgrantee.
- Did not use all funds received, OHS will issue an Invoice or Grant Modification letter to recover unused funds.

In the **Grant Closeout Letter**, OHS will notify the subgrantee of the start of the record retention period for all programmatic and financial grant related records.

**NOTE: Failure to maintain all grant records for the required retention period could result in a reduction of eligible grant activities, and an invoice to return costs associated with the unsupported activities.**

**Payment  
Request  
Process**

To request reimbursement payment of FY 2007/2008 RCPGP funds, complete a payment request form using the OHS Financial Management Forms Workbook and return it to the appropriate Program Representative in the Grant Administration Unit at OHS.

**OHS Financial Management Forms Workbook V 1.07**

<http://www.ohs.ca.gov/grantsinfo2007.html>

**NOTE: Payments can only be made if the subgrantee has an approved application, valid Governing Body Resolution and valid Grant Assurance form.**

**Financial  
Management  
and Reporting  
Workshops**

OHS conducts regular workshops on grants management, financial management and grant reporting. Please contact your OHS Program Representative for more information.